

Memorandum

To: Special Trustee

Through: Principal Deputy Special Trustee

From: Director

Subject: Records Management during May 2001

SIGNIFICANT ACTIVITIES

Consolidation at Lee's Summit FRC

The Deputy Commissioner — Indian Affairs and the Director, Office of Trust Records, agreed May 2 that, subject to consideration by the BIA regional directors, all Record Group 75, BIA and OST records, currently stored in federal records centers would be transshipped to Lee's Summit FRC. Upon lifting the moratorium on sending inactive records to the federal records centers in April 2000, the OTR Director, in consultation with senior management, determined that it was important to provide BIA with a principal FRC for inactive records. By using one central facility rather than 15 nationwide, the National Archives and Records Administration (NARA) would be able to render greater customer service to BIA and tribal clientele, and provide superior records storage, access, and disposition services. Beginning in October 2000 all BIA records eligible for transfer to a FRC were sent to the NARA Lee's Summit facility located near Kansas City, Missouri. The second stage of that action, consolidation of existing FRC holdings, is now ready for implementation.

Lee's Summit is an underground, state-of-the-art facility where modern technology is used to maintain and track records holdings. Geographically it is ideal and amenities are available for on-site research. Lee's Summit has the resources necessary to ensure that all research requests are serviced in a timely and accurate manner, all records are guarded against inappropriate access, and records are preserved in an environmentally appropriate space for as long as necessary. It far exceeds the NARA facility requirements for pre-archival and archival records and has a full commitment by its staff that will allow it to meet our current and future service and storage needs. NARA has informed OTR that it has a lot of experience with transshipping records from one facility to another and expects that it can complete this initiative by September 30, 2001.

OTR Investigation

The investigation into OTR by the Special Master in *Cobell v. Norton* continues to impact significantly on records management trust reform by diverting time and attention from program management and diffusing communication among staff and managers.

Strategic Study Nears Completion

An independent appraisal of the records management efforts delineated in the HLIP is nearing completion. The intent of the study is to get a midterm assessment of the strengths and/or weaknesses of the current effort, highlight areas where additional actions should be considered, and identify other strategies that would bolster the ultimate goal of providing a quality records program for the Trust both now and in the long term. This study has been divided into two parts, 1) compliance to the HLIP mission for good records management operation, and 2) a revisit to the imaging project, currently under scrutiny, for an evaluation of the efforts to-date and a recommendation on what approach to take to bring the imaging concept to fruition. A final report is due in early June.

Self-Governance Meeting

A one-day meeting was held on May 30, 2001, in Albuquerque, New Mexico, with Tribes and Federal Officials from the Office of the Special Trustee for American Indians (OST) and the Bureau of Indian Affairs (BIA). The purpose of the meeting was to discuss various provisions for Self-Governance negotiation guidance dealing with selected trust reform issues. The Special Trustee (OST), the Deputy Commissioner for Indian Affairs (BIA) and the Director, Office of Trust Records (OTR), presided with various Self-Governance Tribal officials from Jamestown S'Klallam, Kickapoo Tribe of Oklahoma, Hoopa Valley, Aleutian/Pribilof Islands Association, Mille Lacs Chippewa, Cuyapaipe Band of Mission Indians, Three Affiliated Tribes, Santa Clara Pueblo, Karuk Tribe of California, Absentee Shawnee Tribe, Kaw Nation, Citizens Potawatomi Nation, Quinault Indian Nation, Lower Elwha Klallam Tribe, Sac & Fox Nation, Salt River Pima-Maricopa, Tanana Chiefs Conference, Inc., Cherokee Nation, and the Muscogee Creek Nation. The following issues were discussed:

- Overview of Trust Reform
- Minimum requirements for Tribal employees access to BIA automated information technology and individual Indian or tribal trust records and Tribal Certification;
- Record Keeping Requirements including guidance language on record keeping for annual funding agreements.
- General discussion of Trust Reform and Self-Determination

Trust Records Control Schedules

IARM staff visited the following BIA locations to inventory records for use in schedule development:

- Office of the Special Trustee for American Indians (Central Office)
- Office of Trust Records (Director's Office)
- Division of Research, Litigation and Settlement (OST)
- Division of Electronic Records (OST)
- Division of Records Management Services
- Navajo Regional Office.

Team leaders also met with National Archives and Records Administration (NARA) staff and Department of the Interior Records Officer to review draft schedules and to share methodology used in developing the drafts. The following four draft trust schedules were distributed to BIA for review and comment:

- Realty
- Forestry
- Transportation and Roads
- Land Titles and Records Office

The plan for developing the OST records schedule has been updated and implemented.

Evaluations of Records Programs

During May IARM completed a records program evaluation at the following BIA locations:

- Turtle Mountain Agency — report pending
- Fort Totten Agency — report pending
- Pawnee Agency — report attached

Special Trustee's Advisory Board

The Director provided an update on OTR activities at the May 19, 2001, OST Advisory Board quarterly meeting held in Albuquerque, New Mexico. Specific discussion included trust record keeping requirements for compacted and contracted programs, disposition schedules, BIA records processed for transfer to federal records centers or the National Archives between July 1999 and April 2001; and training (Basic Records Management and Records Management Awareness Briefings). Two board members of the six attending the meeting toured the Iron Mountain records facility.

Briefing for Counselor to the Secretary and Deputy Commissioner

The Director, with the Principal Deputy, provided a two-hour briefing on IARM May 2 to Counselor to the Secretary Michael Rossetti and Deputy Commissioner — Indian Affairs Sharon Blackwell. Among issues discussed was the consolidation of all BIA federal records center holdings to Lee's Summit and the establishment of an Indian Affairs Records Advisory Committee.

Noteworthy Visitors

Daylong presentations were made to Joseph S. Kieffer III, newly appointed Court Monitor in *Cobell v. Norton*, and Gary V. Ceccucci, Executive Office of the President, Office of Management and Budget.

OTHER WORK (see also attached internal-use chart)

Disposition Backlog at BIA Locations

IARM worked with BIA locations to transfer records to Federal Records Center or National Archives:

- Pine Ridge Agency—82 boxes
- Pawnee Agency—21 boxes
- Midwest Region—7 boxes
- Osage Agency—184 boxes
- Papago Agency—104 boxes
- Southern California Agency—3 boxes
- Central Office West—528 boxes
- Navajo Region—63 boxes
- Northwest Region—411 boxes

An environmental assessment was conducted at records storage facilities at Navajo Region—decontamination protocol proposal to be presented to OTR in early June.

IARM conducted “fast packs” at the following locations

- Southwest Regional Office
- Miami Agency

IARM also conducted bi-weekly quality assurance on work performed by Iron Mountain. IARM staff is drafting standardized procedures to be followed by Quality Assurance Team and a

problem identification and resolution process that will be used to track questions raised by Iron Mountain and problems that require resolution.

Analyze Records Storage Requirements

IARM completed assessments of current records storage requirements, inactive records disposition backlogs, and records transfer to appropriate storage facilities at the following locations:

- Turtle Mountain Agency
- Fort Totten Agency
- Pawnee Agency

At Turtle Mountain IARM also discussed their participation in a pilot to preserve historical records and requested that the agency provide more detailed information on volume, condition, and types of records, and the frequency of their use.

ELECTRONIC RECORDS

Plan to Comply with Electronic Records Requirement

See Millican and Associates summary under Contractors.

Establish Life Cycle Database (Inventory) for Trust Records

OTR completed the installation of the Iron Mountain databases and PC's. This makes a total of 18 PC's configured and three peer-to-peer networks set up for Iron Mountain staff. OTR continues to support these users. On May 29, 2001, OTR conducted training for the Iron Mountain staff in the use of the databases including data entry and backup. Staff will be doing the inventory of Accounts Payable records.

OTR also installed Access 2000 on all Research, Litigation and Settlement (DRLS) staff PC's and converted Secure 97 Inventory to Access 2000 format. Connectivity to the OTR Inventory and the Secure Inventory was provided for all DRSL staff and they were briefed on the inventory project.

We also began analysis for the integration of the DataCom document level information into the OTR Inventory.

TRAINING

IARM presented records management awareness briefings to employees at the following locations:

- Turtle Mountain Agency — 50 employees
- Fort Totten Agency — 9 employees
- Pawnee Agency — 8 employees
- OST Central Office — 13 employees

In addition, OTR presented records management awareness briefing to 19 Iron Mountain employees.

OTR records staff attended a Disaster Recovery and Records Handling Awareness Briefing.

CONTRACTOR ACTIVITY

Iron Mountain

Iron Mountain continued preparing records for local storage or transfer to Federal Records Center. At the Albuquerque facility they were nearing completion on boxes from the following locations:

- Ft. Belknap Agency
- Fort Berthold Agency

The Division of Accounting Management has asked Iron Mountain to ship approximately 4,700 boxes to Reston.

At the Iron Mountain Portland Facility, 900 boxes were waiting for approval by Northwest Records Officer to ship to FRC.

Millican and Associates

Millican delivered first draft of the Electronic Records Management Policy and the Roadmap to Electronic Records Management. OTR is currently reviewing and has provided some comments to Millican. Drafts will be distributed to other OST offices after OTR review is complete.

G&G Advertising

The fourth in a series of records management pamphlets has been sent to printers. The latest is *An Employee's Quick Guide to Records Management*. It includes such topics as What Is Records Management, Who Is Responsible for Records Management, What Are General Records Schedules, and related material.

Native American Industrial Distributors

Provided on going assistance with project management.

STAFFING

Management Analyst positions (research, develop, and implement records management policies, retention schedules; training curricula and aids, etc.)

- ✓ All positions filled

Records Management Specialist positions (implement records management program, BIA disposition backlog, records cleanup, etc.)

- ✓ Recruitment action underway for two positions—vacant as a result of internal promotions and reassignment

Archives Technicians positions (search for refiled or interfiled records; receive, move, inventory, and shelve records)

- ✓ All positions filled

Computer Specialist positions (analyze, develop, and implement information technology solutions; manage projects to implement electronic records programs for BIA and OST)

- ✓ One vacant 9/11/12 position to be advertised
- ✓ One supervisory position to be classified and advertised